

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT Under 37 CFR 1.97(b), (c), or (d)			Docket No. Bernasconi 6-4
In re Application of: Bernasconi, Yang			
Serial No. Not Yet Assigned	Filing Date Herewith	Examiner Not Yet Assigned	Group Art Unit Not Yet Assigned
Title: Active/Passive Monolithically Integrated Channel Filtering Polarization Splitter			
Address to: Commissioner for Patents Alexandria, VA 22313-1450			
37 CFR 1.97(b)			
1. <input checked="" type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits; or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.			
37 CFR 1.97(c)			
2. <input type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), but prior to the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by the statement or fee as indicated below.			
37 CFR 1.97(d)			
3. <input type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(c), but on or before payment of the issue fee and is accompanied by the statement and fee as indicated below.			
Required Statements and/or Fees Under 37 CFR 1.97(c) or (d)			
<input type="checkbox"/> Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement. (37 CFR 1.97(e)(1))			
<input type="checkbox"/> No item of information in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement. (37 CFR 1.97(e)(2))			
<input type="checkbox"/> The fee set forth in 37 CFR 1.17(p). Please credit any overpayment or charge any insufficiency to deposit account number 20-0782.			
37 CFR §1.704(d)			
4. <input type="checkbox"/> Each item of information in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 CFR §1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.			
<u>E. J. Wall</u> Eamon J. Wall Reg. No. 39,414 Moser, Patterson & Sheridan, LLP Attorneys at Law 595 Shrewsbury Avenue, Suite 100 Shrewsbury, New Jersey 07702 732-530-9404		Dated: <u>2/2/04</u> <div style="border: 1px solid black; padding: 5px;"> <p style="text-align: center;">Certificate of Mailing by Express Mail</p> <p>I certify that this document is being deposited on <u>2/2/04</u> with the U.S. Postal Service as Express mail under 37 CFR §1.10 and is addressed to the Commissioner for Patents, Alexandria, VA 22313-1450, Label No. EV367981303US</p> <p style="text-align: center;"> <u>Carol W. Lison</u> Signature of Person Mailing Correspondence <u>CAROL W. LISON</u> Typed or Printed Name of Person Mailing Correspondence </p> </div>	

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PTO/SB/08a (08-03)

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>			Application Number		Not Yet Assigned
			Filing Date		Herewith
			First Named Inventor		Bernasconi, Yang
			Group Art Unit		Not Yet Assigned
			Examiner Name		Not Yet Assigned
			Attorney Docket Number		Bernasconi 6-4
Sheet		of		Submission Date	

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	A1	US-5,953,479	09/14/1999	Zhou et al.	
	A2	US-			

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
		Number-Kind Code ² (if known)				
	B1					
	B2					

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	
		VELLEKOOP and SMIT, "A Small-Size Polarization Splitter Based on a Planar Optical Phased Array", J. of Lightwave Tech., Vol. 8, NO. 1, January 1990, pp. 118-124.	

Examiner	Date Considered
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

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